



DEVELOPING POTENTIAL | ACHIEVING SUCCESS

Operations Manual

Document Title:

Concerns, Complaints and Compliments Procedure

Procedure		Task allocation
1.	Any customer receiving any service can address concerns, complaints or compliments to TTB. The staff member that the complainant has approached will determine whether the issue is a concern (to be resolved by an appropriate staff member), a complaint or a compliment.	All staff
Concerns		
2.	If the complainant wishes to raise a concern for informal resolution, staff will refer the complainant to an appropriate team staff member.	All staff
3.	The member of staff will notify the relevant area of the issue and complete concerns, complaints and compliments form, indicating that it is a 'concern' being raised. This is then passed to the MD.	All staff
4.	TTB monitors all concerns received to ensure that potential issues do not resurface as formal complaints. They also forward concerns to the appropriate investigator, who will deal with the issue and inform MD of the actions taken.	MD/ Investigator
Complaints		
5.	If the complainant feels that action taken is not satisfactory to address the concern and the issue is still unresolved, they need to complete a complaints form, which includes information on equal opportunities	Complainant
6.	All formal complaints (this includes any which TTB receives via letter) are sent to the TTB to record.	All staff/MD
7.	An acknowledgement letter and a copy of this procedure is sent to the complainant within 5 working days.	MD
8.	Any anonymous formal complaints, apart from not responding directly to the complainant, will be handled in accordance with this procedure.	MD
9.	TTB will record all equal opportunities information and use for subsequent analysis and reporting to the appropriate committees.	MD

10.	TTB will check the log to ensure the complaint has not been raised previously. A tracking form is completed and the unit also allocates either red or amber to designate the seriousness of the complaint. Examples of complaints designated 'red' may include; harassment, bullying, discrimination, fraud or other criminal behaviour.	All Staff
11.	The tracking sheet, a copy of the complaint and any previous information is sent by the MD to be investigated and resolved by the identified person.	MD
12.	Upon receipt of the complaint, the investigator will establish whether the issue is justified and determine the actions required to resolve the issue to the complainants' satisfaction (corrective action).	Investigator
13.	The Investigator will also review current systems to identify changes that will prevent recurrence of similar complaints (preventive action).	Investigator
14.	The MD can offer advice to the investigator where requested.	MD
15.	A response is prepared and returned to the complainant within 15 working days of receipt by the investigator.	Investigator
16.	A copy of the response to the complainant and supporting documentation is forwarded to the quality unit (within 15 working days) for recording, analysis and reporting.	Investigator
17.	The MD will remind the complaint investigator by email 3 working days before the impending 15-day deadline.	MD
18.	TTB will retain all documentation relating to complaints.	MD
Appeals		
19.	The complainants may appeal against a decision if they are not satisfied with the actions by TTB or if the cause of the complaint has still not been resolved , by writing to the MD within 10 working days from the date the response was sent by the TTB.	Complainant/ MD
20.	The MD will review all information on the complaint.	MD
21.	The MD will, if necessary, establish an appeals panel to look into the complaint. The decision of the MD/panel will be sent to the complainant within 10 working days.	MD
22.	All outcomes will feed the self-assessment process.	All staff
Compliments		
23.	Any compliments received verbally should be logged and those received by letter, should all be forwarded to the MD. Details of compliments will be shared with relevant members of staff.	MD

Actual Date	Reviewed by	Next review planned for
12th May 2013	Narmin Hugill	2014
15th January 2014	Narmin Hugill	2015
16th February 2015	Narmin Hugill	2016
10th October 2016	Narmin Hugill	2017
18th April 2017	Narmin Hugill	2018
15th May 2018	Narmin Hugill	2019
18 th November 2019	Esu Hill	2020
12th February 2020	Narmin Hugill	2021
1st July 2020	Narmin Hugill	2021
24 th May 2021	Esu Hill	2022

 <p>The Training Brokers</p> <p>DEVELOPING POTENTIAL ACHIEVING SUCCESS</p>	<h2>Complaints Form</h2>
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Please ensure that you have attempted to resolve your complaint with the tutor/assessor/associate / staff before completing this form. The completed form should be returned to the CEO.

Section A – Details		
Title:	Forename:	Surname:
Address:		Postcode:

		Contact telephone number:
Course title:		Date of notification of this complaint:
Section B – Details of the complaint		
Please try to explain clearly and concisely what you are complaining about and why		
Please indicate the remedy you are seeking as a resolution to your complaint		

Section C		
has the complaint been raised with the tutor/ assessor/ associate/ appropriate staff member	Yes	No
If 'Yes' with whom was it discussed		
Name:	Post title:	Date:

What was the outcome? (Please indicate why you are still dissatisfied?)		
Signature of complainant:		Date:
<i>For office use only</i>		
Date received:	Acknowledge sent:	Reference No.